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| 000FORM PTO-1390 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE REV. 2/01T | | CUSTOMER NO. 22,852 ATTORNEY'S DOCKET NUMBER 05999.0190 |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | U.S. APPLICATION NO. (If known, see 37 CFR 1.7) 107538874 |
| INTERNATIONAL APPLICATION NO. PCT/EP2002/014880 | INTERNATIONAL FILING DATE December 23, 2002 | PRIORITY DATE CLAIMED |
| TITLE OF INVENTION: PHOTOCROMIC OPTICAL WAVEGUIDES AND METHOD FOR THE PREPARATION THEREOF | | |
| APPLICANTS FOR DO/EO/US: 1) Marco COLOMBO, 2) Antonio ZAOPO, 3) Yuri A. DUBITSKY, 4) Giuseppe ZERBI, 5) Chiara BERTARELLI, and 6) Maria Carla GALLAZZI | | |
| Applicants herewith submit to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | |
| 1. | <input checked="" type="checkbox"/> | This is a FIRST submission of items concerning a filing under 35 U.S.C 371. |
| 2. | <input type="checkbox"/> | This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. |
| 3. | <input type="checkbox"/> | This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. |
| 4. | <input type="checkbox"/> | The US has been elected by the expiration of 19 months from the priority date (Article 31). |
| 5. | <input checked="" type="checkbox"/> | A copy of the International Application as filed (35 U.S.C. 371 (c)(2)). |
| | a. <input checked="" type="checkbox"/> | is attached hereto (required only if not communicated by the International Bureau. |
| | b. <input checked="" type="checkbox"/> | has been communicated by the International Bureau. |
| | c. <input type="checkbox"/> | is not required, as the application was filed with the United States Receiving Office (RO/US). |
| 6. | <input type="checkbox"/> | An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)). |
| | a. <input type="checkbox"/> | is attached hereto. |
| | b. <input type="checkbox"/> | has been previously submitted under 35 U.S.C. 154 (d)(4). |
| 7. | <input checked="" type="checkbox"/> | Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)). |
| | a. <input type="checkbox"/> | are attached hereto (required only if not communicated by the International Bureau). |
| | b. <input type="checkbox"/> | have been communicated by the International Bureau. |
| | c. <input type="checkbox"/> | have not been made; however, the time limit for making such amendments has NOT expired. |
| | d. <input checked="" type="checkbox"/> | have not been made and will not be made. |
| 8. | <input type="checkbox"/> | An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)). |
| 9. | <input type="checkbox"/> | An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)). |
| 10. | <input type="checkbox"/> | An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)). |
| Items 11 to 20 below concern document(s) or information included: | | |
| 11. | <input checked="" type="checkbox"/> | Information Disclosure Statement under 37 CFR 1.97 and 1.98 |
| 12. | <input type="checkbox"/> | An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. |
| 13. | <input checked="" type="checkbox"/> | A FIRST preliminary amendment. |
| 14. | <input type="checkbox"/> | A SECOND or SUBSEQUENT preliminary amendment. |
| 15. | <input type="checkbox"/> | A Substitute specification. |
| 16. | <input type="checkbox"/> | A change of power of attorney and/or address letter. |
| 17. | <input type="checkbox"/> | A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825. |
| 18. | <input type="checkbox"/> | A second copy of the published international application under 35 U.S.C. 154 (d)(4). |
| 19. | <input type="checkbox"/> | A second copy of the English language translation of the international application 35 U.S.C. 154 (d)(4). |
| 20. | <input checked="" type="checkbox"/> | Other items or information: |
| | a. <input checked="" type="checkbox"/> | Copy of cover page of International Publication No. WO 2004/057377 A1. |
| | b. <input type="checkbox"/> | Copy of Notification of Missing Requirements. |

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| U.S. APPLICATION NO. (If known, see 37CFR 1.5) 10/538874 | | INTERNATIONAL APPLICATION NO. PCT/EP2002/014880 | | ATTORNEY'S DOCKET NUMBER 05999.0190 | |
| 21. <input checked="" type="checkbox"/> The following fees are submitted: | | | | Applicant Use | Office Use Only |
| BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)): | | | | \$300.00 | |
| National Stage Search Fee..... | | | | \$500.00 | |
| National Stage Examination Fee..... | | | | \$200.00 | |
| ENTER APPROPRIATE BASIC FEE AMOUNT = | | | | \$1000.00 | |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. | | | | | |
| Total Sheets | Extra Sheets | Number of additional 50 or fraction thereof (rounded up to a whole number) | Rate | | |
| 12 - 100 = | /50= | | x 250.00 | \$ | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492 (e)). | | | | <input type="checkbox"/> 20 <input type="checkbox"/> 30 | \$ |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | |
| Total Claims | 18 | - 20 = | 1 | x \$50.00 | \$ |
| Independent Claims | 2 | - 3 = | 0 | x \$200.00 | \$ |
| <input type="checkbox"/> MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | | +\$360.00 | \$ |
| TOTAL OF THE ABOVE CALCULATIONS = | | | | \$1000.00 | |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. | | | | \$ | |
| SUBTOTAL = | | | | \$1000.00 | |
| Processing fee of \$130.00 for furnishing the English translation later than months from the earliest priority date (37 CFR 1.492(f)). | | | | <input type="checkbox"/> 20 <input type="checkbox"/> 30 | \$ |
| TOTAL NATIONAL FEE = | | | | \$1000.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property. | | | | + | \$ |
| TOTAL FEES ENCLOSED = | | | | \$1000.00 | |
| | | | | Amount to be refunded: | \$ |
| | | | | charged: | \$ |
| <p>a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>1000.00</u> to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>06-0916</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p> | | | | | |
| NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status. | | | | | |
| SEND ALL CORRESPONDENCE TO: | | | | | |
| Finnegan, Henderson, Farabow, Garrett & Dunner, L.L.P. | | | | | |
| 901 New York Avenue, NW | | | | | |
| Washington, D.C. 20001-4413 | | | | | |
| EFC/FPD/sci | | | | | |
| DATED: June 14, 2005 | | | | | |
| | | | |  SIGNATURE Ernest F. Chapman/25,961 NAME/REGISTRATION NO. | |